

Guidelines on the Criteria and Evidence Requirements for Promotion to Level D

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1. Introduction

These guidelines have been prepared to assist academic staff in applying for promotion. It should be read in conjunction with the *Academic Promotions Policy*, the *Academic Promotions: Application Procedures*, *Academic Promotions Applicant Guide* and the *Academic Performance Matrices and Evidence (APME) Framework*.

Academic Promotion is a significant career planning activity that will in most cases require at least two years of preparation. Academic staff members should include plans for promotion in the career planning section of the Academic Performance Review and Planning form. This prompts a discussion with the staff member's nominated supervisor about preparation for promotion, and consideration of development activities that will support the plan for the promotion application. The nominated supervisor is best placed to provide support and guidance to an academic staff member considering submitting an application.

Promotion to Associate Professor recognises a staff member's outstanding achievements in one or more of the promotion criteria for the three areas of academic activity: Research and Creative Works; Teaching, Curriculum Development and Scholarship of Teaching; and Academic Leadership/Service; and demonstrated commitment to Catholic Identity and Mission.

2. Definitions

- Academic Career Pathway** A staff member's Academic Career Pathway is established through the appointment process and/or as an outcome of the Annual Performance Review and Planning process. There are five Academic Career Pathways, as set out in the *Australian Catholic University Staff Enterprise Agreement 2017- 2021*(the Agreement).
- **Teaching and Research:** The Teaching and Research career pathway includes roles that involve teaching, scholarship of teaching, research, administration and academic leadership/service to the University as outlined in the MSALs and as detailed in these guidelines.
 - **Teaching-focussed:** The Teaching-focussed career pathway involves a more significant focus on teaching and scholarship of teaching, and will also include contributions in administration and academic leadership/service. In this career pathway, staff will undertake a higher proportion of teaching related activities, as detailed in these guidelines.
 - **Research-focussed:** The Research-focussed career pathway involves a significant focus on research and also includes contributions in teaching and academic leadership/service to the University as specified in the MSALs, and detailed in these guidelines.
 - **Research-only:** The Research-only career pathway involves a more significant focus on research, but also includes contribution to administration, academic leadership/service to the University; as specified in the MSALs and detailed in these guidelines. Research-only academics are expected to undertake teaching and in this regard supervision/training of research students will normally be a priority for Research-only staff members.

	<ul style="list-style-type: none"> • Academic Leadership/Service: The Academic Leadership/Service career pathway involves a focus on leadership/service to the University, and also requires contributions in the areas of teaching and/or research as detailed in these guidelines.
Academic Performance Matrices and Evidence Framework	The Academic Performance Matrices and Evidence (APME) Framework describe the performance expectations by Academic Level for each Academic Career Pathway.
Area of academic activity	<p>The three broad areas of academic activity for promotion (which are not exclusive and have some areas of overlap), are as follows:</p> <ul style="list-style-type: none"> • Teaching, Curriculum Development and Scholarship of Teaching • Research and Creative Works • Academic Leadership/Service
Agreement	The <i>Australian Catholic University Staff Enterprise Agreement 2017 - 2021</i> .
Capability Development Framework (CDF)	<p>The Capability Development Framework describes organisational capabilities and staff core competencies that are required to achieve excellence, ensure success and deliver on the ACU Mission.</p> <p><i>Organisational Capabilities</i> are the areas ACU needs to focus on and improve at the organisational level to achieve excellences and success through our Strategic Plan 2015 - 2020.</p> <p>The <i>Core Competencies</i> describe the areas of work that require focus to achieve success, and will assist applicants for promotion to describe how they have contributed to achievement of the University's Strategic Plan 2015 - 2020.</p>
Contribution	A measure of the sustained contribution and performance in an academic activity at the current academic level, and readiness to contribute and perform at the next academic level, demonstrated through evidence. Contribution is described as Satisfactory, Major or Outstanding, and is explained further in Section 4.
Evidence	The evidence that the applicant is expected to provide that demonstrates sustained contribution and performance, and suitability for promotion. The APME Framework document provides guidance on evidence of activity, quality, impact and esteem.
Minimum Standards for Academic Levels (MSALs)	The Minimum Standards for Academic Levels set out in Schedule 3 of the Agreement.
Performance expectations	These are the expectations for performance in each area of academic activity within an Academic Career Pathway. The expectations are cumulative by academic level. The performance expectations are articulated in the relevant APM.
Promotion criteria	The promotion criteria prescribe the required contribution for each area of academic activity within an Academic Career Pathway.

3. Making the case for promotion

An applicant is expected to make a clear case, supported by evidence, to justify promotion to the next level.

The focus of the application should be on work the applicant has done, for the period since appointment or from last promotion at ACU (up to 5 years), that demonstrates sustained contribution and performance to satisfy the promotion criteria.

Promotion may be sought on the basis of achievements relating to Academic Career Pathway that is different from the current Academic Career Pathway. Advice should be sought from the nominated supervisor.

The performance expectations for your current academic level and the level of promotion are provided in the Academic Performance Matrix relevant for the Academic Career Pathway of the application. An applicant will be expected to demonstrate sustained contribution and performance at the current level, as well as the readiness and capacity to contribute and perform competently at the next level. Indeed, it is anticipated that an applicant would be in a position to demonstrate that certain aspects of their contribution and performance already align with the expectations of the next level. If the Committee assesses any of the promotion criteria as Unsatisfactory, the promotion will not be awarded.

The case for promotion must include evidence to support the claims made in the application. Certain evidence is mandatory, and this is set out in Section 4. The APME Framework document sets out guidance on evidence of activity, quality, impact and esteem that an applicant is expected to provide to support the application for promotion.

The Capability Development Framework should be used to articulate how the applicant's achievements contribute to the Mission and the University's success. Refer to Section 5.2.1 for more information.

The Academic Promotions Applicant Guide will assist applicants to navigate all stages of the promotions process from planning to submission of the application. The diagram below details these stages:



4. Promotion Criteria for Level D

Suitability for promotion is assessed against the following elements:

- Qualifications, including recognised significant experience in a relevant discipline. The APM for the relevant Academic Career Pathway details qualification requirements, applicants seeking to establish equivalence with appropriate qualifications will need to provide evidence in part 1 of their pro-forma which shows equivalence.

Examples¹ of evidence of equivalency may include (but are not limited to) the following:

- leadership in the development of professional standards;
 - performing in a role that requires high order judgement and the provision of expert advice, or roles at a senior level;
 - managing significant projects in the field;
 - testimonials, awards or other recognition that acknowledges leadership or expertise in the field of education;
 - contributions in the field of education through participation in advisory boards and professional networks;
 - peer reviewed publications in the field of education;
 - other publications such as books and reports and/or
 - leadership or management of research acknowledged by peers.
- The three broad areas of academic activity (where relevant in relation to the Academic Career Pathway of the application):
 - Research and Creative Works
 - Teaching, Curriculum Development and Scholarship of Teaching
 - Academic Leadership/Service
 - Commitment to Catholic Identity and Mission

The promotion criteria prescribe the required contribution for each of these elements within an Academic Career Pathway.

¹ Examples are taken from the [Higher Education Threshold Standards](#)

Promotion Criteria for Level D, by Academic Career Pathway

The criteria for promotion to Level D for each Academic Career Pathway are as follows. These criteria apply to applicants who are applying from the top increment of Level C. Note that if the Committee assesses any of the promotion criteria as Unsatisfactory, the promotion will not be awarded.

Teaching and Research	Teaching-focussed	Research-focussed	Research-only	Academic Leadership/Service
<ol style="list-style-type: none"> 1. Satisfactory evidence of Qualifications 2. Outstanding contribution to either: <ol style="list-style-type: none"> a. Research and Creative Works; or b. Teaching, Curriculum Development and Scholarship of Teaching; and 3. Major Contribution to either: <ol style="list-style-type: none"> a. Research and Creative Works; or b. Teaching, Curriculum Development and Scholarship of Teaching; and 4. Satisfactory contribution to Academic Leadership/Service. 	<ol style="list-style-type: none"> 1. Satisfactory evidence of Qualifications 2. Outstanding contribution to Teaching, Curriculum Development and Scholarship of Teaching; and 3. Major contribution to Academic Leadership/Service. 	<ol style="list-style-type: none"> 1. Satisfactory evidence of Qualifications 2. Outstanding contribution to Research and Creative Works; and 3. Major contribution to Teaching, Curriculum Development and Scholarship of Teaching 4. Satisfactory contribution to Academic Leadership/Service. 	<ol style="list-style-type: none"> 1. Satisfactory evidence of Qualifications 2. Outstanding contribution to Research and Creative Works; and 3. Major contribution to Academic Leadership/Service 	<ol style="list-style-type: none"> 1. Satisfactory evidence of Qualifications 2. Outstanding contribution to Academic Leadership/Service; and 3. Major Contribution to either: <ol style="list-style-type: none"> a. Research and Creative Works; or b. Teaching, Curriculum Development and Scholarship of Teaching; and 4. Satisfactory contribution to either: <ol style="list-style-type: none"> a. Research and Creative Works; or b. Teaching, Curriculum Development and Scholarship of Teaching.
<p>In addressing the promotion criteria, academics at all levels and in every Academic Career Pathway are expected to demonstrate commitment to Catholic Identity and Mission in the School, Faculty and University.</p>				

Exceptional Merit

An applicant who applies for promotion from a lower step than the top of the incremental range for Level C must demonstrate **exceptional merit**² as follows. Note that if the Committee assesses any of the promotion criteria as Unsatisfactory, the promotion will not be awarded.

Teaching and Research	Teaching-focussed	Research-focussed	Research-only	Academic Leadership/Service
<ol style="list-style-type: none"> 1. Satisfactory evidence of Qualifications 2. Outstanding contribution to Research and Creative Works; and 3. Outstanding contribution to Teaching, Curriculum Development and Scholarship of Teaching; and 4. Major contribution to Academic Leadership/Service. 	<ol style="list-style-type: none"> 1. Satisfactory evidence of Qualifications 2. Outstanding contribution to Teaching, Curriculum Development and Scholarship of Teaching; and 3. Outstanding contribution to Academic Leadership/Service. 	<ol style="list-style-type: none"> 1. Satisfactory evidence of Qualifications 2. Outstanding contribution to Research and Creative Works; and 3. Outstanding contribution to either: <ol style="list-style-type: none"> a. Teaching, Curriculum Development and Scholarship of Teaching; or b. Academic Leadership/Service; and 4. Major contribution to either: <ol style="list-style-type: none"> a. Teaching, Curriculum Development and Scholarship of Teaching; or b. Academic Leadership/Service. 	<ol style="list-style-type: none"> 1. Satisfactory evidence of Qualifications 2. Outstanding contribution to Research and Creative Works; and 3. Outstanding contribution to Academic Leadership/Service 	<ol style="list-style-type: none"> 1. Satisfactory evidence of Qualifications 2. Outstanding contribution to Academic Leadership/Service; and 3. Outstanding contribution to either: <ol style="list-style-type: none"> a. Research and Creative Works; or b. Teaching, Curriculum Development and Scholarship of Teaching; and 4. Major contribution to either: <ol style="list-style-type: none"> a. Research and Creative Works; or b. Teaching, Curriculum Development and Scholarship of Teaching.
<p>In addressing the promotion criteria, academics at all levels and in every Academic Career Pathway are expected to demonstrate commitment to Catholic Identity and Mission in the School, Faculty and University.</p>				

² See Promotion Policy for explanation of Eligibility Requirements

Contribution

Contribution is a measure of the sustained contribution and performance in an academic activity at the current academic level, and readiness to contribute and perform at the next academic level, as demonstrated through evidence. Contribution is described as Satisfactory, Major or Outstanding, and the indicators for Qualifications and each area of academic activity are as follows:

Qualifications, including recognised experience in a relevant discipline:

Satisfactory Contribution
The APM for the relevant Academic Career Pathway details qualification requirements.

The three broad areas of academic activity:

	Satisfactory Contribution	Major or Outstanding Contribution
Research and Creative Works	<p>An Associate Professor need not necessarily have been solely responsible for advances in knowledge but is expected to be a serious and experienced scholar to whom others (within and outside the University) may turn with confidence. A satisfactory contribution in this criterion will be assessed accordingly.</p> <p>A satisfactory contribution or commitment refers to the level of research and creative works necessary to maintain effectiveness as an academic at the level of Associate Professor that is aligned with the application ACP and is relative to opportunity, as articulated in the performance expectations (refer to the relevant APM).</p> <p>Mandatory evidence requirements are provided in Section 5 of this document. Further information to assist with demonstrating contribution is provided in the APME Framework document.</p> <p>Note: Where an applicant's field of research is scholarship of teaching, including higher education scholarship of teaching, details of their research into scholarship of teaching and related grants and publications can be presented in this section on Research and Creative Works, or in Teaching, Curriculum Development and Scholarship</p>	<p>A major or outstanding contribution would involve, in addition to the level of scholarship necessary for a satisfactory contribution, original authorship of works describing advances in knowledge in the applicant's discipline or field, or the application of knowledge in original ways to problems of acknowledged importance, or original research, new expressions of knowledge or creative insight, and would require evidence that the applicant is recognised at least nationally in their field.</p> <p>An outstanding contribution would be one of unusual depth and significance, or a series of contributions sustained over an extended period of time with clear evidence of international recognition and standing.</p> <p>Mandatory evidence requirements are provided in Section 5 of this document. Further information to assist with demonstrating contribution is provided in the APME Framework document.</p>

	Satisfactory Contribution	Major or Outstanding Contribution
	<p>of Teaching, together with evidence of the quality of the contribution. An applicant should consider the best placement of the details in their pro-forma in line with the expected contribution for each promotion criterion. The exception to this is applications in the Teaching-focussed ACP, which do not address the Research and Creative Works criterion. In this case research in the field of Scholarship of Teaching must be included in the Teaching, Curriculum Development and Scholarship of Teaching criterion.</p>	
<p>Teaching, Curriculum Development and Scholarship of Teaching</p>	<p>A satisfactory contribution to Teaching, Curriculum Development and Scholarship of Teaching at Level D, which normally relates to formal award programs, would be demonstrated by evidence of sustained contribution to and/or leadership of activities that contribute to enhancing the student experience as described in the University's Learning for Life Framework 2014-2017 and the performance expectations articulated in the relevant APM. Mandatory evidence requirements are provided in Section 5 of this document. Further information to assist with demonstrating contribution is provided in the APME Evidence document.</p>	<p>In addition to what is articulated for satisfactory contribution, a major or outstanding contribution would also be expected to include evidence of excellence in teaching and curriculum development and significant achievements in the scholarship of teaching, and demonstrated leadership in all of these activities.</p> <p>A major or outstanding contribution to teaching, curriculum development and scholarship of teaching for a Level D academic would include evidence of leadership in effective innovation in terms of student learning, curriculum development and engagement with students and colleagues to improve learning and teaching outcomes within the School.</p> <p>In addition, a Level D academic is expected to demonstrate a significant contribution to scholarship of teaching, at a School/Faculty and/or University level that includes a record of quality publications. They are expected to play a leadership role in obtaining funding to support individual and/or team projects.</p> <p>Mandatory evidence requirements are provided in Section 5 of this document. Further information to assist with demonstrating contribution is provided in the APME Framework document.</p>

	Satisfactory Contribution	Major or Outstanding Contribution
Academic Leadership/Service	<p>A satisfactory contribution to Academic Leadership/Service for Level D will be demonstrated by evidence that the applicant has demonstrated leadership in embodying the values of the University, demonstrating good corporate citizenship, and operating proactively in the University's best interests.</p> <p>Level D academics are expected to make a significant contribution to the governance and collegial life of the institution, including successful mentoring of less experienced staff, and will show evidence of leadership in the profession and engagement with the community.</p> <p>Mandatory evidence requirements are provided in Section 5 of this document. Further information to assist with demonstrating contribution is provided in the APME Framework document.</p>	<p>A major or outstanding contribution would require greater or more significant involvement or a series of contributions to Academic Leadership/Service sustained over an extended period of time. In particular, evidence should be provided of a leadership role in professional activities and institutional governance and demonstrated efficiency in managing allocated internal roles. In addition, evidence should be provided of demonstrated scholarly activity in an area of expertise that is highly regarded at the University, discipline, national and/or international level.</p> <p>Mandatory evidence requirements are provided in Section 5 of this document. Further information to assist with demonstrating contribution is provided in the APME Framework document.</p>
<p>Note: Applicants applying for promotion in the Teaching and Research ACP are required to provide evidence of publications that meet the academic performance standards for the ACP and academic level in <i>at least one of</i> research or scholarship of teaching.</p>		

5. Evidence to support an application for promotion to Level D

The case for promotion must include evidence to support the claims made in the application. Certain evidence for each area of academic activity is mandatory, and this is set out below. The APME Framework document sets out guidance on evidence of activity, quality, impact and esteem that an applicant is expected to provide to support the application for promotion.

The evidence should support the applicant's claim of sustained contribution and performance at the current level, as well as readiness and capacity to contribute and perform at the next level. It is anticipated that an applicant would be in a position to provide evidence that certain aspects of their contribution and performance already align with the expectations of the next level.

The APME Framework document sets out guidance on evidence of activity, quality, impact and esteem that an applicant is expected to provide to support the application for promotion.

5.1 Mandatory evidence

• **Research and Creative Works**

In presenting evidence of their achievements under Research and Creative Works, applicants should use four distinct sections headed: Research Income; Research Outputs; Measures of Esteem; and Applied Measures of Research Impact. Guidance is provided below about the types of evidence to be presented under each heading.

Research Income

Research income data should be summarised and include:

- Source and category of income (e.g. Australian Competitive Grants, other public sector research income, industry and other research income, University or Faculty grant)
- Funding period and total amount received
- Researchers on each grant and the role of the applicant (e.g. project leader or chief investigator, partner investigator) and the applicant's contribution to the team's work (percentage)

Unsuccessful grant applications should not be included.

Research Outputs

Applicants are required to present the outputs of their research and creative works over the five years prior to their application by providing the following:

- their Orion ACU Research Profile Report attached to the application, which details:
 - Funded projects
 - Students supervised
 - Publications that the applicant is a contributor to, or non-traditional Research Outputs
- information regarding their percentage of contribution for research outputs that were undertaken jointly using the template at Appendix 1 of the pro-forma.
- a concise list of publications and research projects that have been accepted but have not been verified by Orion and do not appear on the Orion ACU Research Profile Report (such as publications 'in press') using the template at Appendix 2 of the pro-forma.

These documents are additional to the application, and will not be included in the page limit, and it is not necessary to replicate this information in Part 3 of the application.

The quality of the work will be the critical aspect. When completing this section, applicants should:

- be aware of the University's performance standards for both publications and grants by academic level and Field of Research (FoR) and provide evidence of the quality of achievements to support their application. (Refer to the relevant Faculty Quality Journal Lists for more information):

- For citation disciplines:
 - their Scopus data – including number of citations, h index; and
 - any other relevant evidence.
- For peer review disciplines:
 - an assessment of their research quality referencing the quality journal lists utilised within the relevant Faculty; and
 - any other relevant evidence.
- for creative works, include a brief statement that identifies specifically the research component.
- provide written comments about quality and the contribution of the applicant (percentage) for non-traditional research outputs such as confidential reports arising from consultancies; reviews of exhibitions, musical compositions and performances; lists of commercial catalogues, etc.

Measures of Esteem

Esteem measures are indicators that a researcher is held in high regard by peers in their discipline and/or by other well-qualified parties. The recognition of achievements and how this is demonstrated objectively will vary depending on the applicant's discipline and career path.

Applied Measures and Research Impact

Research findings can have applications in the wider community in relation to new developments, policy and practice, enhanced productivity, quality of life, and significant contributions to the welfare of society. Applicants should provide evidence of applied measures or the impact of their research on social, economic, environmental, cultural and/or policy-related outcomes.

In addressing this section on Research and Creative Works, applicants are required to provide evidence of the nexus between their research and creative works and learning and teaching where applicable to the ACP of the application.

- **Teaching, Curriculum Development and Scholarship of Teaching**

All applicants are required to include a list of units taught, normally from the preceding two years, indicating:

- which are core and which are electives
- whether they were solely or jointly taught
- whether the applicant was Lecturer-in-Charge and
- the approximate numbers of students in each unit

In addition to the above, applicants are expected to include systematic and objective evidence of activities undertaken to continuously improve teaching performance, curriculum development and scholarship of teaching that support claims of satisfactory, major or outstanding achievements in relation to this criterion.

In particular, as evidence supporting their application, applicants will need to provide Student Evaluation of Learning and Teaching (SELT)/Student Evaluation of teaching (SET)/Student Evaluation of Unit (SEU) surveys. This requirement is in line with the University's Policy on Teaching Evaluation

which requires that student ratings and comments should be gathered on learning and teaching for each unit taught at least once every two years. Two SELT/SET/SEU surveys are required for units taught in the two years previous to the application for promotion.

For a staff member with a significant designated University role (e.g. National Head of School, Associate Dean) or a Research-focussed role, the two SELT/SET/SEU surveys can be from the previous three years.

Applicants are required to provide evidence that demonstrates how feedback from evaluations is used by them to enhance learning and teaching.

SELT/SET/SEU surveys should be attached to the application, with the applicant's name and School stated on the top of each page.

Many aspects of the scholarship of teaching link to, and overlap with, research activity as an academic, for example, in the case of publications in refereed journals. These aspects of scholarship of teaching can be presented as evidence under Teaching, Curriculum Development and Scholarship of Teaching or Research and Creative Works, and cross-referenced as required in the application for most applicants. The exception is applications under the Teaching-focussed ACP, where in all cases, applicants will include scholarship of teaching in the Teaching, Curriculum Development and Scholarship of Teaching section.

- **Academic Leadership/Service**

Claims of contribution for Academic Leadership/Service should be supported, by evidence of the applicant's participation in administrative functions at least at a School/Faculty level, which may include course coordination and leadership roles, aligned with the University's Strategic objectives.

Applicants should provide evidence of their contributions which links their expertise in teaching and/or research to relevant contributions beneficial to local, national and international communities both internal and external to the University. Relevant details should be provided of the period of service, nature and context of such activities.

An Associate Professor may be called upon to accept assignment as a National Head of School, State Head of School, Deputy Head of School or other University responsibilities at an equivalent level³, therefore leadership potential will be regarded as an essential attribute for promotion.

5.2 Other evidence – all academic activities

All claims in the promotion application should be supported with evidence. The APME Framework document sets out guidance on evidence of activity, quality, impact and esteem that an applicant is expected to provide to support the application for promotion.

5.2.1 Using the Capability Development Framework (CDF)

The diagram below illustrates how the integration of the CDF which comprises Organisational Capabilities and Individual Core Competencies into people processes at ACU including Academic Promotions supports the achievement of excellence.



³ Consistent with the level of responsibility specified in the (MSALs), staff promoted to Level D may be requested to undertake a leadership role within a school or for the University.

The following information will assist applicants in using the CDF to articulate how their contributions align with organisational capabilities and achievement of the University's strategic objectives and support the Mission:

1. Refer to the [ACU Capability Development Framework with guidance for Staff and Supervisors document](#).
2. Identify the Core Competencies relevant to the application for promotion. Note: Core Competencies mapped to performance objectives in the recent PRP Process could be used to inform this,
3. Review descriptions of "CDF Core Competencies in Expectations and Behaviours in more detail" in the CDF Guide for the Achievement Level relevant to current role 4.
4. Articulate how you have developed or are developing the CDF Core Competencies relevant to your case for promotion in Part 3 of the application pro forma. This will demonstrate your contribution to the achievement of organisational capabilities and the ACU Strategic Plan 2015 - 2020.

⁴ CDF Achievement Levels are 1: All Staff, 2: Management, 3: Executive Leadership and 4: Senior Executive Leadership